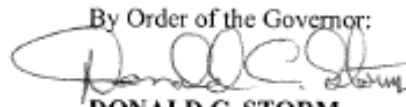


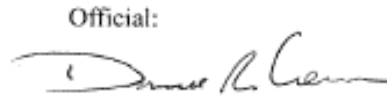
HEADQUARTERS  
KyNG  
100 Minuteman Parkway  
Boone National Guard Center  
Frankfort, Kentucky 40601-6168

**HUMAN RESOURCES OFFICE (HRO): CIVILIAN PERSONNEL**  
**SUPERVISOR'S WORK FOLDER**

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\* This update printing publishes a new KYNG regulation.

By Order of the Governor:  
  
**DONALD C. STORM**  
Major General KyNG  
The Adjutant General

Official:  
  
**DONALD R. CONOVER**  
COL, MP, KYARNG  
Human Resources Officer

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**SUMMARY.** This regulation establishes standard requirements for supervisors' work folders that applies to and governs the operating of the Kentucky National Guard when not in active Federal Service.

**APPLICABILITY.** This regulation applies to the Kentucky National Guard (KyNG). It implements Supplement 296-31 of the Centralized Instruction Manual.

**INTERNAL CONTROL SYSTEM.** This regulation is subject to the requirements of TPR 293-31 (S8). It does contain internal control provisions and checklists for review.

**SUPPLEMENTATION.** Do not supplement this regulation or establish command without approval of KG-HRO.

**INTERIM CHANGES.** Interim changes to this regulation are not official unless authenticated by the Human Resources Officer (HRO). Users will destroy interim changes on their expiration dates unless sooner superseded or rescinded.

**SUGGESTED IMPROVEMENTS.** The proponent agency of this regulation is the HRO. Users will send comments and suggested improvements of DA FORM 2028 (Recommended Changes to Publications and Blank Form) directly to the HRO, ATTN: KG-HRO-TP, 100 Minuteman Pkwy, Bldg. 210, Frankfort, KY 40601-6168.

**DISTRIBUTION:** Command levels A – (AR) and F (AF) for the KYNG

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\*This regulation supersedes KYTPR 293 (AR)(AF) dated 1 September 1994.

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**SUPERVISOR'S WORK FOLDER**

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## **CHAPTER 1**

### **GENERAL**

**1-1. PURPOSE.** Supervisor work folders provide an easy access system to keep information that might be required to adequately perform supervisory duties on those supervised. This includes: knowing a worker's employment history; keeping track of performance, both inadequate and above average performance; recording recognition achievement, and/or training; and annotating occurrences in the work place which may be needed for reference in correcting conduct deficiencies. First-level supervisors keep separate work folders for each technician; higher-level supervisors are not permitted to maintain duplicate work folders. Work folders are part of the Employee Performance File System and are subject to the Privacy Act and Freedom of Information Act.

**1-2. TYPE OF FOLDER, LOCATION AND SAFEGUARDS.** Supervisors will establish folders with the technician's name written or typed on them. The SF 66, Official Personnel Folder, may not be used as the work folder. Work folders are normally kept at the supervisor's work site. If the folder cannot be protected from casual access, other locations may be used.

**1-3. CONTENTS.** The following documents are normally maintained in a supervisor work folder:

- a. Supervisor's Checklist for Maintenance of Supervisory Records.
- b. NGB Form 904-1, Supervisor Brief (or a SUPBRF) on each technician. Record of Technician Employment. It is the only authorized supervisory employment record. (See Chapter 2 and Figure 2-1.)
- c. Performance-related records may be maintained for no more than 3 years. They include but are not limited to performance elements/standards and ratings of record; records kept to track performance; documents concerning reconsideration/appeal of performance-related matters; performance improvement plans; and memorandums or notations of performance counseling.
- d. Conduct-related records are maintained until no longer relevant to a continuing or recurring problem. The HRO maintains official files of letters of reprimand or adverse actions; therefore, the supervisor has no need to keep a copy of these actions, a notation of NGB Form 904-1 or SUPBRF is sufficient.
- e. Leave schedules prepared annually.
- f. Copies of SF 52, Request for Personnel Action, may be kept until action is completed.
- g. Copies of correspondence or forms related to training may be kept until training is completed. Training plans may be kept until no longer relevant.
- h. Copy of employee's current position descriptions.
- i. AGO KY Form 430 (T), Performance Standards and Critical Elements Form.
- j. AGO KY Form 430-1 (T), Performance Appraisal Form.
- k. Special qualifications verification documents.
- l. Supporting documentation for awards or commendation documents may also be held in the work folder until actions are completed.

- m. Kentucky Army and Air National Guard Voluntary Military Technician/ANG-AGR Physical Fitness Program Statement of Understanding and Liability.
- n. Written clearance form physician for competitive technicians who are not members of the National Guard.
- o. Kentucky National Guard Automated Information Systems (AIS) Usage Agreement.

NOTE: Letting a technician know that information has or will be added to the work folder can help to reinforce both positive and negative events.

**1-4. DOCUMENTS PROHIBITED FROM FOLDER.** The following documents are prohibited from being filed in the Supervisor's Work Folder:

- a. Copies of SF-50s once the NGB Form 904-1 or automated SUPBRF has been posted.
- b. Security/ Investigation/Clearance Reports or Records.
- c. Pre-employment Information/Resumes or telephone inquiry notations.
- d. Letters of indebtedness which have no bearing on the technician's ability to perform his/her duties or the reputation of the National Guard.
- e. Personal medical information/records.
- f. SF 181, Race and National Origin Identification, or SF 256, Self identification of Medical Disability (SF-256).
- g. Employee's photograph.
- h. Training certificates of completion.
- i. Personal notes as outlined in paragraph 1-5.

**1-5. PERSONAL NOTES.** Personal notes maintained as memory aids are not official agency records and are not subject to the Privacy Act and are not considered part of the work folder. These notes:

- a. Are retained for the personal use of the supervisor as temporary memory aids or joggers.
- b. Are not circulated to anyone else including other supervisors – **FYEO** – and/or if you want the subject employee.
- c. Are not under the control of the agency (i.e., not required by the agency and may be retained or discarded solely as the supervisor sees fit).
- d. At any time a supervisor shows personal notes to anyone, they cease being personal notes. If the supervisor physically refers to these notes when counseling the technician, shows them to the next level supervisor in discussing a situation, or shows them to HRO personnel when determining what actions to take, they become part of the official records of the agency. All controls and regulations that apply to agency records apply, including the right of the technician to have access.

**1-6. ACCESS.**

- a. Supervisor's Work Folders will be maintained in a way best suited to the supervisor's needs (see para 1-2). However, work folders must be kept in a lockable file/desk drawer at the supervisor's work site, or nearby, if the worksite cannot be secured.
- b. Upon request, a technician must be allowed access to their own work folders. Technicians wishing to provide access to another person must provide the supervisor written notification which specifically identifies the person to be given access and the material to be provided. The record can be disclosed to other management officials/employees who have a need for the record in the performance of their duties, e.g. HRO, second line supervisor, JAG, IG, EEO, persons acting in accordance with the state's labor agreement(s).
- c. Duplicate work folders may not be maintained for you (as the first level supervisor) or by higher level supervisor's. Also no other persons, including those from the organization's clerical or assistant staff, are permitted to or delegated the responsibility for posting and maintaining an employee's Supervisory Work folder.

**1-7. RETENTION AND DISPOSITION.**

- a. Disposition of the Supervisor's Work Folder will be as follows:
  - (1) When the technician moves to a new position serviced by the same HRO, the folder will be forwarded to gaining supervisor.
  - (2) When the technician moves to a new position serviced by a different HRO, or when technician is separated from Federal service, the folder will be destroyed 90 days after the separation date.
  - (3) When a technician is ordered to be extended active duty, the folder may be destroyed 90 days after the separation date. A new folder will be established if the technician exercises restoration rights.
  - (4) If a former technician is reemployed, a new folder will be created, unless the prior folder is still available.
  - (5) If the folder is needed for reasons in paragraph b below, it will be forwarded to HRO.
- b. There may be instances where these records should be retained after the 90 day limit (i.e., when litigation is pending). In such cases, HRO will retain work folder until it is no longer needed.
- c. Supervisors will dispose of the work folder by forwarding the records (clearly marked as obsolete) to the technician, or by shredding, burning, or pulping.

**CHAPTER 2**

**INSTRUCTIONS FOR PREPARING NGB FORM 904-1/SUPBRF  
SUPERVISOR'S RECORD OF TECHNICIAN EMPLOYMENT**

**2-1. NGB Form 904-1 or Supervisor's Brief.** The NGB Form 904-1 (1 Dec 91), Supervisor's Record of Technician Employment or Supervisor Brief, will be maintained by supervisors and filed in the Supervisor's Work Folder. Changes in technician employment data are to be recorded on the form as soon as possible (see Figure 2-1). The maintenance of the NGB Form 904-1/SUPBRF will be as follows:

- a. Items 1 thru 7b: initially completed by supervisor in **pencil**. Technicians should be advised to notify their supervisors when changes occur; i.e. address change, home telephone number, emergency contact, etc. On Supervisor's Brief, Part A, items 1 thru 9 (in pencil).
- b. Item 8: To be posted at the time of official rating. Part C on Supervisor's Brief.
- c. Item 9: Once entry is completed from DD Form 1556, certificates or other documents, give the document to the employee. Part C on Supervisor's Brief.
- d. Item 10: Record incentive awards, i.e., commendations certificates, length of service, suggestion awards. Part C on Supervisor's Brief.
- e. Item 11: Position and Personnel Data (from information on SF-50 – DO NOT RETAIN COPIES of SF-50, give original to the employee).
- f. Item 12: Comments and discussions that will be considered in making determinations relative to a technician's employment should be entered in this item (date all entries). Part B on Supervisor's Brief.
- g. Notations of oral admonishments (date and subject) will be made in pencil, and will be deleted from the form when it is determined that it is no longer necessary or relative to a continuing/recurring problem.
- h. When additional space is required, a new NGB Form 904-1/SUPBRF may be prepared by completing blocks 1 thru 4. The continuation form will be attached to the basic NGB Form 904-1/SUPBRF. The basic NGB Form 904-1/SUPBRF should reflect the number of pages in existence at all times. Once a new Form 904-1/SUPBRF is started, all entries will be on the new form even if space is available on original form.
- i. Appendix A is Supervisor's Checklist for maintenance of supervisory work files.

Authenticated by:

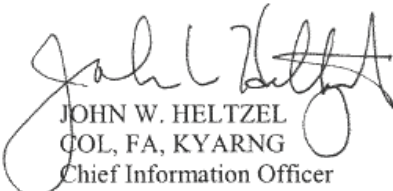
  
JOHN W. HELTZEL  
COL, FA, KYARNG  
Chief Information Officer

FIGURE 2-1

[illegible]

FIGURE 2-1

12. COMMENTS AND REMARKS (Record discussions/counseling sessions on all matters relative to employment, i.e., performance standards/critical job elements, safety briefings, etc.)

[illegible]

All Supervisory records must be protected against casual access and inappropriate disclosure. Privacy Act statement is not needed since the Technician is not required to supply data.

Continuation Sheets: When additional space is required to record additional data, a new form may be prepared by completing blocks 1 thru 4 and the additional data or the use of supplemental sheets is authorized. The continuation form or sheets of paper will be attached to the basic form. The basic form must reflect the number of pages in existence at all times.

**Disposition:** This form will disposed of IAW with TPR 293-31.



FIGURE 2-1  
PERSONAL DATA - PRIVACY ACT OF 1974

AS OF : 24 OCT 2005

## Reason For Request:

SUBJECT: Supervisor's Employee Brief

TO THE SUPERVISOR OF: Ruth E. Drake

ORGANIZATION: 1723

SSN: 123-58-1098

OFFICE SYMBOL: J1-HRO-T

## INSTRUCTIONS TO THE SUPERVISOR:

-Complete Part A (Employee Information) upon receipt of this document.  
-Make appropriate entries in Part B (Supervisor's Comments) during the year.  
-Additional entries in Part C (Employee Experience, Awards, Performance Appraisal and Training information) may be made during the year. You will receive an updated Part C when the employee has been promoted. An updated Part C may be generated upon request to the Human Resource Office for significant personnel changes such as:  
Change to Lower Grade, Reassignment, GM Within-Grade Increases, Quality Step Increases and Position Changes.

## PART A - EMPLOYEE INFORMATION

## EMERGENCY INFORMATION

1. HOME ADDRESS: 1220 Butcher Holler  
Wildcat, KY 40000
2. HOME TELEPHONE:
3. SERVICE COMPUTATION DATE CIVILIAN LEAVE: 19 JAN 1989
4. WITHIN GRADE INCREASE DUE DATE: 30 SEP 2007

5. NAME: \_\_\_\_\_

6. RELATIONSHIP: \_\_\_\_\_

7. HOME ADDRESS: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. HOME TELEPHONE: \_\_\_\_\_

9. WORK TELEPHONE: \_\_\_\_\_

TW3352TW W8A2AA 1723

AS OF : 24 OCT 2005

PART B- SUPERVISOR'S COMMENTS- Record comments and events occurring during the year, e.g., Letter of Appreciation, counseling for session leading to disciplinary or adverse action, performance or conduct. Detach this part and file with new Part C, if disciplinary or performance action has been noted.

[illegible]

TW3352TW W8A2AA 1723

AS OF : 24 OCT 2005

SSAN: 123-58-1098

PART B- SUPERVISOR'S COMMENTS- Record comments and events occurring during the year, e.g., Letter of Appreciation, counseling for session leading to disciplinary or adverse action, performance or conduct. Detach this part and file with new Part C, if disciplinary or performance action has been noted.

DESCRIPTION OF EVENT:

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

TW3352TW W8A2AA 1723

AS OF : 24 OCT 2005

PART B- SUPERVISOR'S COMMENTS- Record comments and events occurring during the year, e.g., Letter of Appreciation, counseling for session leading to disciplinary or adverse action, performance or conduct. Detach this part and file with new Part C, if disciplinary or performance action has been noted.

DESCRIPTION OF EVENT:

This image shows a single sheet of white paper with horizontal blue or grey ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

FIGURE 2-1  
PERSONAL DATA - PRIVACY ACT OF 1974

AS OF : 24 OCT 2005

SUBJECT: Supervisor's Employee Brief

TO THE SUPERVISOR OF: Ruth E. Drake

SEN: 123-58-1098

PART C - Employee Experience, Awards, Performance and Promotion Factor Rating, Training Information and Education: (maintain with parts A and B in the employee work folder)

## 1. -----CURRENT POSITION INFORMATION-----

A. TITLE	B. POSN/SEQ	C. PP-SERS-GR/STEP	D. SUPERVISORY LEVEL	E. DATE ENTERED
HRS (EMPTY RELATIONS, BENEFITS, P	N0262000/200305	GS-0201-11/08	Supervisor or Manager	04 JAN 2004
F. SALARY DATA				
BASIC	LOCALITY	ADJUSTED	SUPV	OTHER
SALARY	ADJ	BASIC PAY	DIFF PAY	PAY
RETENTION	PREMIUM			
ALLOWANCE	PAY/IND			
Not Enough \$\$\$\$'s	NE\$\$\$'S	NE\$\$\$'s	NE\$\$\$'s	
G. EMERGENCY ESSENTIAL			H. POSITION SENSITIVITY	
Position Not Designated Emergency-Essential Or Key			Nonsensitive (NS) National Security Risk	
I. PERSONNEL SECURITY CLEARANCE: S			J. DATE COMPLETED: 15 AUG 2002	

## 2. -----EDUCATION DATA-----

A. EDUCATION LEVEL	B. INSTRUCTIONAL PROGRAM	C. YEAR ATTAINED
High school graduate or certificate of equivalency		

## 3. -----PERFORMANCE APPRAISAL DATA-----

## 4. -----AWARD DATA-----

A. PERFORMANCE APPRAISAL	B. DATE EFF	A. AWARD TYPE	DATE B. APPROVED	AWARD C. AMOUNT
Exceptional, Outstanding, Superior, Successful Leve	30 NOV 2004	Special Act or Service Award	16 MAR 2005	429
Exceptional, Outstanding, Superior, Successful Leve	30 JUN 2004	Quality Step Increase	09 JAN 2005	
Exceptional, Outstanding, Superior, Successful Leve	31 OCT 2003	Time Off Award	17 JUL 2004	27
Exceptional, Outstanding, Superior, Successful Leve	31 OCT 2002	Quality Step Increase	16 NOV 2003	
Exceptional, Outstanding, Superior, Successful Leve	30 SEP 2001		05 MAR 2003	429
Exceptional, Outstanding, Superior, Successful Leve	30 SEP 2000	Quality Step Increase	17 NOV 2002	

TW3352TW W8A2AA 1723

FIGURE 2-1  
PERSONAL DATA - PRIVACY ACT OF 1974

AS OF : 24 OCT 2005

NAME: Ruth E. Drake

SSAN:

5.-----TRAINING HISTORY DATA-----

A. COURSE TITLE	B. COURSE TYPE	C. HOURS	D. GRAD DATE
RETIREMENT ONSLT TNG	OVP	16	18 JUL 1995
THRIFT SAVINGS PLAN	J11	27	26 JAN 1995
TQM	BA5	16	03 MAR 1994

**APPENDIX A**  
**SUPERVISOR'S CHECKLIST**  
**FOR MAINTENANCE OF SUPERVISORY FILES**

This checklist will help you maintain your supervisory records. It covers the records you need to maintain, and how to maintain them. If you answer "yes" to each of these questions, your records are in good shape.

- a) Are your work folders physically located close to you so you can refer to them as often as needed?
- b) Are your work folders protected against casual access, inappropriate disclosure, or invasion of personal privacy?
- c) Do you personally maintain the work folders on each of your technicians, not passing responsibility for filing and updating them on to a secretary or any other administrative personnel?
- d) Do you have an NGB Form 904-1/SUPBRF, Supervisors Record of Technician Employment, on each of your technicians?
- e) Is the information in sections 5, 6, 7, 8, 9, 10 and 11 of each NGB Form 904-1/SUPBRF current for all technicians?
- f) Do you receive copies of SF-50, Notification of Personnel Action, on change actions for your technicians?
- g) Do you post the information from all SF 50s you receive to section 9 of the appropriate NGB Form 904-1/SUPBRF promptly and give the forms to the technician?
- h) Do you record the date and subject of your discussions with each technician in item 12 of that technician's NGB Form 904-1/SUPBRF?
- i) If you no longer have room for entries on the NGB Form 904-1 for one of your technicians have you attached an additional NGB Form 904-1/SUPBRF and reflected the number of pages in existence?
- j) Do you have current copies of AGO Form 430 (T), Performance Standards and Critical Elements, and AGO Form 430-1 (T), Performance Appraisal Form, for each of your technicians IAW TPR 430?
- k) Have you removed all performance-related records more than three (3) years old from each file, either destroying them or marking them obsolete and giving them to the technician for disposition?
- l) Do you have a copy of Optional Form 8, Position Description, for each basic position authorized in your section?
- m) Do you have a projected leave schedule for each technician you supervise?
- n) If the technicians you supervise are covered by a collective bargaining agreement, have you reviewed it for additional record-keeping requirements that it may include?
- o) Have you recently reviewed and become familiar with the rules governing technician access to your work folder pertinent to him/her?
- p) Have you recently reviewed and are you familiar with the rules governing personal notes in the work folders?